

12/28/00

12/28/00 U.S. PTO

01-02-01

PTO/SB/05 (08-00)

A/Box SEQ

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

Bayer 9998, 2

First Inventor

A. STEINBUCHER

Title

SYNTHETIC ENZYMES FOR THE  
PRODUCTION OF CONIFERYL ALCOHOL

Express Mail Label No.

EL 767491022 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing) 2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification [Total Pages 121]  
(Preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Detailed Description of the Drawings (if filed)  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. ☒ Oath or Declaration [Total Pages 2]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(For continuation/divisional with Box 17 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed Statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR 1.63 (d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☒ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☒ Computer Readable Forms (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☒ paper  
c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Paper (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney (When there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (If foreign priority is claimed)
16. ☐ Other \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: 08/976,063

Prior application information: Examiner P. Tung Group / Art Unit: 1652

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Victoria M. Malia				
Address	Norris McLaughlin & Marcus, P.A.				
	220 East 42 <sup>nd</sup> Street - 30 <sup>th</sup> Floor				
City	New York	State	New York	Zip Code	10017
Country	USA	Telephone	212-808-0700	Fax	212-808-084
Name (Print/Type)	Victoria M. MALIA		Registration No. (Attorney/Agent)	39,359	
Signature	<i>Victoria M. Malia</i>		Date	December 28, 2000	

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	Div. of 08/976,063 filed 21 Nov. 1997
Filing Date	28 December 2000
First Named Inventor	A. Steinbuchel
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	Byaer 9998.2

**TOTAL AMOUNT OF PAYMENT****\$950.00****METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

14-1263

Deposit  
Account  
Name

Norris, McLaughlin &amp; Marcus

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status  
See 37 CFR § 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>\$710.00</b>

**2. EXTRA CLAIM FEES**

Extra Claims		Fee from below		Fee Paid
Total Claims				
13	-20** = 0	X	0.00	0.00
Independent Claims	6 - 3** = 3	X	80.00	240.00
Multiple Dependent				

Large Entity Small Entity

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>\$240.00</b>

\*\*or number previously paid, if greater, For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non - English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR § 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)****SUBMITTED BY**

Name (Print/Type)	Victoria M. Malia	Registration No. (Attorney/Agent)	39,359	Telephone	212-808-0700
Signature	<i>Victoria M. Malia</i>	Date	28 December 2000		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

12/28/00

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09750986-122200

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **A. STEINBUCHER ET AL.**

Docket No.

**Bayer 9998.2**

Serial No.

To be assigned

Filing Date

**December 28, 2000**

Examiner

To be assigned

Group Art Unit

To be assigned

Invention:

**SYNTHETIC ENZYMES FOR THE PRODUCTION OF CONIFERYL ALCOHOL,  
CONIFERYLALDEHYDE, FERULIC ACID, VANILLIN AND VANILLIC ACID AND THEIR USES**

Jc914 U.S. PTO

09/750986



12/28/00

I hereby certify that the following correspondence:

**Utility Patent Application Transmittal form; Fee Transmittal form (in duplicate); Specification, Claims, Abstract,  
Declaration and Power of Attorney; Communication with one sheet of formal drawings; Sequence Listings (printed  
and electronic); Preliminary Amendment; Information Disclosure Statement with Form PTO-1449***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

**December 28, 2000***(Date)***Lucy Weg***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***EL 767491022 US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**